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ABSTRACT

The content is outlined and the terminal and enabling objectives are provided for a curriculum area on applied leadership (see EM 010 444, EM 010 445, EM 010 446, EM 010 447, EM 010 464, and EM 010 472), part of an introduction to psychology and leadership course for the United States Naval Academy (see the final reports which summarize the course development project, EM 010 418, EM 010 419, and EM 010 484). EM 010 420 through EM 010 447 and EM 010 451 through EM 010 512 are related documents. (SH)

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UNITED STATES NAVAL ACADEMY

INTRODUCTION TO PSYCHOLOGY AND LEADERSHIP

MAY 1971

PART TWELVE

APPLIED LEADERSHIP

CONTENT OUTLINE

TERMINAL AND ENABLING OBJECTIVES

EM 010 518

Westinghouse Learning Corporation
Annapolis Division
2083 West Street
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United States Naval Academy

INTRODUCTION TO PSYCHOLOGY AND LEADERSHIP

PART TWELVE

APPLIED LEADERSHIP

Content Outline

Terminal and Enabling Objectives

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WESTINGHOUSE LEARNING CORPORATION

Annapolis, Maryland

1971

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United States Naval Academy

INTRODUCTION TO PSYCHOLOGY AND LEADERSHIP

PART TWELVE

APPLIED LEADERSHIP

Segment I

Measurement of Effective Leadership

WESTINGHOUSE LEARNING CORPORATION

Annapolis, Maryland

1971

PART TWELVE - APPLIED LEADERSHIP

Segment I - Measurement of Effective Leadership

A. Introduction

1. Rationale of Part Twelve

   a. To combine and review various skills and personality traits of leadership

   b. To integrate the previously presented materials

   c. To illustrate some of the complexities of applied leadership in the real world

2. Leadership principles reviewed (Readings in Leadership, DOD PAM 1-20)

   a. Be technically and tactically proficient.

   b. Know yourself and seek self-improvement.

   c. Know your men and look out for their welfare.

   d. Keep your men informed.

   e. Set the example.

   f. Ensure that the task is understood, supervised, and accomplished.

   g. Train your men as a team.

   h. Make sound and timely decisions.

   i. Develop a sense of responsibility among subordinates.

   j. Employ your command in accordance with its capabilities.

   k. Seek and take responsibility for your actions.

3. Admitting a paradox

   a. Midshipmen will learn from experience that a good commander need not always be bound by the regulation book.

   b. As a new officer, it is wise to fall back on the strict letter of the law whenever in doubt.

   c. However, one learns with experience that he must sometimes bend to adjust to the situation at hand. For example:

As shore patrol officer, a new ensign found one of his sailors passed out in a bar which was off limits. The hostess explained that the man had come in alone and caused no trouble. The ensign knew this man to have an outstanding record, and could not understand the behavior. It was at this point that he deviated from a strict adherence to regulations. Rather than place the man on report, he located the sailor's leading chief and placed the drunk in his custody. After being relieved of patrol duties, he returned to the ship and questioned the offender. He found that the sailor was reacting to news that his wife was instituting divorce proceedings; yet he had been hesitant to ask for advice or ask for leave. Leave was arranged, and the matter cleared up.

1) Such problems are more advantageously handled with the knowledge and consent of one's senior officer.

d. The new officer must not exceed his own authority, but must keep the incidence of offenses, such as the one above, at a low level.

1) Bending the rules to the situation may become necessary on occasion.

2) If such methods fail, formal adjudication still remains as an alternative.

4. Realistically getting the job done

a. Leaving a training environment, a new officer cannot remember all the tenets of leadership he has been taught.

b. A new officer, however, can remember basic guidelines which have been stressed, and he can distinguish good leadership practices from bad.

c. Basic guidelines which, along with common sense, can get a new officer off to a fine start.

1) Criticize in private, praise in public.

2) Let your men know that you are interested in them as individuals.

3) Keep your door open to your men.

a) Learn their names, their marital status, their educational backgrounds, etc.

b) It helps to keep a notebook on your men.

4) Administer corrective action and/or recommend punishment so as to gain a reputation for fairness and consistency.

5) State your requirements clearly; then supervise so that the men meet or exceed your standards.

6) Stand up for your men when they perform for you, and be known as a man of your word.

7) Don't kill your men with kindness.

a) A commander who lets his men dig only shallow foxholes because they are tired may cost many lives for those few minutes of rest.

8) As a commander, you are responsible for everything your unit does or fails to do.

a) You can delegate authority, but not responsibility.

9) Take care of your men, and they will take care of you.

10) Lead by example.

B. Ultimate Criteria for Measurement of Leadership Effectiveness

1. The superior's estimate

a. The results (mission accomplishment) that a subordinate produces are the first and foremost determining factor in a superior's estimate. Missions are assigned for a purpose: to be accomplished--to obtain specified results. An officer may employ very good methods, but if he does not achieve mission accomplishment, he has totally failed. On the other hand, an officer may utilize poor methods, but if he does accomplish his mission, he has succeeded.

b. S.L.A. Marshall states, "When the chips are down, the main question is not how you go about your mission, but whether it succeeds." (Marshall, p. 186)

Example: At Omaha Beach only one infantry company had the good fortune to get to the sea wall almost intact with no losses of manpower and with nearly all equipment in hand. But having gained this first point, the company hesitated. Someone (not the commander) shouted, "Move to the right!" as it had been noted that the company had landed several hundred yards to the left of where it was supposed to come ashore. Some of the men strayed off and were hit by flanking fire. Others followed and became

mixed with strange units. Within a few minutes of its first success the company was reduced to a cipher and did not contribute one thing to the tactical gains of the day.

Another company in the same regiment landed even farther to the left of its designated sector. It gained the sea wall only after bitter struggle. The commander knew he was in the wrong area. But he made his decision instantly and ordered his men to attack straight forward up the bluff. The company forged ahead. It continued to take losses, but it remained in balance and under control. At the close of the day it had made one of the deepest penetrations along the Omaha Beachhead. (Marshall, p. 194)

2. Factors that the superior looks at in evaluating subordinates

   a. The <u>results</u> he obtains (organizational effectiveness): Again, it cannot be stressed enough that mission accomplishment is absolutely the <u>primary criterion</u> by which a superior will evaluate a subordinate.

      1) Questions the superior asks

         a) Does he establish standards?

            (1) Are they reasonable?

            (2) Are they effective?

         b) Does he ensure that the task is understood, supervised, and accomplished?

         c) Does he know how to establish appropriate goals/objectives?

         d) Does he seek responsibility as well as develop a sense of responsibility among his subordinates?

      2) Results speak loudly regardless of the situation (war or peace).

      3) The leader who plans his actions to ensure success will always be looked upon favorably.

3. Other considerations by the superior

   a. The <u>manner</u> in which he gets results (his personal behavior)

      1) Questions the superior asks

         a) Does he set the example in personal appearance, moral character, and duty performance?

b) Does he display integrity?

c) Does he really know his men well?

d) Does he look out for their welfare?

e) Does he treat every person as an individual, not as a number?

2) Obtaining the desired results is the primary factor; the manner in which they are obtained is always secondary.

b. His attitude toward self-improvement

1) Does he know himself?

2) Does he know his strengths and his weaknesses?

3) Does he constantly seek self-improvement?

C. Indicators of Effective Leadership

1. Integration of all indicators

a. Morale: The state of mind of an individual, that has been produced by all the circumstances which make his membership in a group rewarding and satisfying. (Wolfe, p. 201; N-106, 1967, pp. 40, 41-47)

b. Esprit de corps: The common spirit pervading the members of a group and inspiring enthusiasm, devotion, and zealous regard for the honor of the group (Wolfe, p. 204)

1) Esprit does not necessarily appear in units which are efficient and well-disciplined, nor is it a necessary condition for the unit to be successful in competition with other units. (Wolfe, p.204)

c. Discipline

1) The standard of personal deportment, work requirements, courtesy, appearance, and ethical conduct which, inculcated into men, will enable them, singly or collectively, to perform their mission with an optimum efficiency. (DOD PAM 1-20, p.155)

2) In Latin, "to discipline" means "to teach" (DOD PAM 1-20, p. 155)

a) The ideal state of discipline exists when there is a maximum of efficiency and contentment, combined with a minimum of punishment.

d. Efficiency: That ability to accomplish successfully an assigned task in the shortest possible time, with the minimum expenditure of means, and with the least possible confusion.

2. Indicators are always present within a group, but may occur in numerous combinations of varying degrees.

a. Example (NOTE: The following is the account of a Marine lieutenant who took over his first platoon in Vietnam. It illustrates how one platoon, over a period of four months, performed with regard to morale, esprit de corps, discipline, and efficiency.)

When I joined my platoon, it was part of a battalion-sized perimeter north of Dong Ha. The entire battalion had experienced heavy casualties a month before, and was now doing local patrols, refitting and retraining. It was an ideal time for me to assume command. The men had fought well and won a decisive battle, and their spirit was high. The battalion area was on a river, so that the men could bathe and relax. They were able to get hot food and plenty of sleep. Thus, morale was excellent. Discipline was especially good in my platoon, for my platoon sergeant demanded instant obedience, and the men respected him and admired his methods. We were able to run field training problems, had received new men and gear, and our efficiency was at a peak. I was able to phase in gradually, and chose not to make any major changes. This was the 2d platoon, H. Co. 2/4. We were known as "The Big Deuce," and our trademark was fixed bayonets. Every man carried his bayonet unsheathed on his weapon.

Three months later, there was no 2d platoon. A long series of operations with no appreciable rest periods had filled the three months. We had engaged North Vietnamese units in several battles, and had been mortared and harassed almost continually. Finally, after one night filled with hand-to-hand fighting in our own perimeter, I found myself the company commander, and the 2nd platoon mustered 13 men in the field.

At this point I disbanded the platoon, and spread the men throughout the company. Morale was not high among these men or in me. We felt that we needed a rest, a bath, a beer, a letter....We had seen old friends die or left wounded. Yet, in contrast, esprit was high. These men stopped in to see me and said that they wanted to get the "Big Deuce" back together. They bragged of the body count of NVA outside their holes and were proud that they had repulsed a battalion-sized attack. Discipline remained high.

These men had continually reacted to orders without question. We were able to handle any offenses on the platoon level without resorting to formal punishment.

Our efficiency? We moved more slowly because we were bone weary, and we badly needed new gear, and more men, but we were a very efficient 13 men, more so perhaps than a new unit, for we had a lot of experience under our belts. The lesson learned is that morale is not always an obstacle to performance. Spirited, well-disciplined men can put self-gratification aside temporarily and fight for a unit goal in combat where they would not have the same drive in a peace-time situation.

Four months after I'd joined them, 2d platoon was together again. A first lieutenant replaced me as company commander. I gathered the old regulars from within the company, got some old men back from the hospital ship, integrated new men, and reformed the platoon. When I left Vietnam, it was again up to the standards of the original platoon.

b. A unit with high morale, esprit de corps, and discipline can still suffer from decreased efficiency if training programs are not fully pursued.

c. Esprit is a difficult characteristic to build. Often, units in a situation that is not very demanding can go along with good morale and discipline, efficiently doing their tasks, but never be challenged by the situation or their leader. Therefore, pride and esprit do not have a chance to grow.

d. Some units even perform well with a minimum of discipline.

    1) Example: Consider a Midshipman summer training company. The Midshipman company commander is dealing with men not familiar to him, and he does not want to create a bad impression by putting classmates on report. Consequently, discipline falls, but liberty is good, morale is high, and the unit, composed of excellent athletes, wins sports competitions consistently. A high esprit grows, but throughout the summer discipline stays lax.

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Outline Reference	Terminal and Enabling Objectives	
A.3.	Given an example situation in which a leader's subordinate commits an offense, the M will select, from several choices, the paragraph which correctly states whether the leader should bend the rules to fit the situation, and which correctly states an appropriate action to be taken by the leader.	TO 1
A.2.	The M will select, from several choices, standardized leadership principles.	EO-1
A.4.	The M will select, from several choices, basic guidelines for getting the job done realistically.	EO-2
B.	Given a description of a subordinate's performance, the M will select, from several choices, the paragraph which best evaluates the performance from a superior's standpoint.	TO 2
B.	The M will select, from several choices, the paragraph which correctly states the ultimate criteria for measuring leadership effectiveness.	EO-1
B.1.	The M will select, from several choices, the paragraph which correctly states the importance of obtaining results (mission accomplishment).	EO-2
B.2.3.	The M will select, from several choices, questions that a superior asks in evaluating a subordinate's performance.	EO-3

Outline Reference	Terminal and Enabling Objectives	
C.	The M will select, from several choices, the paragraph which best discusses the integration of morale, discipline, esprit de corps, and efficiency.	TO 3
C.	The M will select, from several choices, indicators of effective leadership.	EO-1

United States Naval Academy

INTRODUCTION TO PSYCHOLOGY AND LEADERSHIP

PART TWELVE

APPLIED LEADERSHIP

Segment II

Generally Recognized Characteristics of an Effective Leader

WESTINGHOUSE LEARNING CORPORATION

Annapolis, Maryland

1971

PART TWELVE - APPLIED LEADERSHIP

Segment II - Generally Recognized Characteristics of an Effective Leader

A. Leadership Qualities (Fitness Report, NAVPERS 16138-E, pp. 187-192)

NOTE: The leadership qualities of a young officer are constantly being evaluated by his seniors. The new leader should also be alert to make self-evaluations of his own leadership qualities and effectiveness. The following is a compilation of qualities and ideas which have been recommended for use in evaluating one's level of leadership. It should not be used as a highly rigid "inspection tool". No man is expected to excel in each and every quality; but the more qualities in which he can excel, the more effective will be his leadership behavior.)

1. Moral responsibility

   a. Personal codes of conduct which do not permit the leaders to exploit their abilities and positions to the detriment of their fellowmen.

   b. Commander's duties of example and correction: "All commanding officers and others in authority in the naval service are required to show in themselves a good example of virtue, honor, patriotism, and subordination; to be vigilant in inspecting the conduct of all persons who are placed under their command; to guard against and suppress all dissolute and immoral practices, and to correct according to the laws and regulations of the Navy, all persons who are guilty of them; and to take all necessary and proper measures, under the laws, regulations, and customs of the naval service, to promote and safeguard the morale, the physical well-being, and the general welfare of the officers and enlisted men under their command or charge." (NavRegs,Art. 0702A)

   c. Commander's responsibility (NAVPERS 15934B, p.A-6)

      "The responsibility of the commanding officer for his command is absolute, except when, and to the extent, relieved therefrom by competent authority, or as provided otherwise in these regulations. The authority of the commanding officer is commensurate with his responsibility, subject to the limitations prescribed by law and these regulations. While, he may, at his discretion, and when not contrary to law

or regulations, delegate authority to his subordinates for the execution of details, such delegation of authority shall in no way relieve the commanding officer of his continued responsibility for the safety, well-being, and efficiency of his entire command." (NavRegs,Art. 0701(1))

2. Loyalty

   a. A true, faithful, strong devotion to one's country, one's superiors, and one's subordinates.

   b. The degree of loyalty a division officer shows toward his division has a direct bearing on the morale of his men.

   c. The officer who has not earned the loyalty of his men cannot expect to receive that little extra effort above the call of duty which is often necessary to accomplish a mission.

3. Devotion to duty

   a. Loyalty to the post or position one holds

   b. Duty is placed above self.

   c. Each officer and enlisted man must do his duty to the best of his ability - not because of the personal gain involved but because that is the most expeditious and perhaps only way of accomplishing the mission.

   d. Each officer and enlisted man must be able to take orders quickly and cheerfully.

4. Professional knowledge

   a. Thorough knowledge of one's job, which has taken time and experience to attain

   b. Senior officers will provide assistance to junior officers, while insisting that they do their duty and master their jobs as quickly as possible.

5. Self-confidence, initiative, and ingenuity

   a. An officer should never display arrogance.

   b. An officer must observe the limitations placed on his actions by rules and regulations, yet take advantage of small chances to exercise his initiative and ingenuity, by which he will gain enough self-confidence to tackle the bigger problems.

6. Courage (Moral and Physical)

   a. Physical

      1) That quality of the mind which enables one to meet danger and difficulties with firmness.

      2) Courage is strengthened through its exercise.

      3) In combat, a courageous man is not necessarily fearless, but he has learned to conquer his fear and concentrate on the mechanics of fighting.

   b. Moral

      1) Enables one to acknowledge responsibilities and to carry them out regardless of consequences

7. Ability to organize and make decisions

   a. A junior officer's primary job is to coordinate the efforts of his men to achieve a common purpose.

   b. To organize effectively, an officer must have intimate knowledge of the skills and physical capabilities of his men.

   c. An officer must learn to make clear-cut decisions, without dread of making a mistake.

   d. A junior officer must exercise good judgment - ability to develop correct and logical conclusions.

8. Personal example and conduct (NAVPERS 15934B, pp. A-7 to A-9)

   a. An officer must display outstanding conduct at all times, ashore as well as aboard ship.

   b. It is imperative that an officer do nothing to dishonor his uniform, lest, in doing so, he dishonor the whole Navy.

   c. An officer acts with understanding and conviction that his decisions, utterances, and example are influencing not only the immediate mission but the future character and conduct of those around him.

   d. An officer, while maintaining the proper chain of command up and down, makes himself appropriately available to subordinates, presents his ideas clearly and courageously to all concerned, and adheres to principle in spite of obstacles and pressures.

e. An officer actively supports and participates in the leadership improvement efforts, and he regularly informs subordinates of the standards of professional and personal conduct expected of them.

f. An officer must always present proper military bearing; i.e., military carriage, correctness of uniform, smartness of appearance, and physical fitness.

9. Discipline and smartness

a. All personnel should exhibit a can-do spirit, perform their duties enthusiastically, and maintain the highest standards of military courtesy off duty as well as on duty.

b. All equipment and spaces should exhibit compliance with standards of readiness, safety, efficiency, and economy.

c. Instances of insubordination, uniform violations, unauthorized absences, late arrivals, and comparable offenses are held to a minimum, or steps are being taken to ensure their correction.

d. Drills, working periods, and watches begin on time and are performed with smartness and dispatch.

10. Industry: The zeal exhibited and energy applied in the performance of one's duties

11. Imagination: Resourcefulness, creativeness, capacity to plan constructively

12. Reliability: The dependability and thoroughness exhibited in meeting responsibilities

13. Cooperation: Ability and willingness to work in harmony with others

14. Self-expression (oral): Ability to express oneself orally

15. Self-expression (written): Ability to express oneself in writing

B. Leadership Effectiveness as Mental Health (Argyris, pp. 161-62, 300-37)

1. To be an effective leader, an individual must attain mental health.

a. Mental Health means a successful synthesis of who the individual is, where he is, and what he wishes to be.

b. Individual is aware of reality, that exists "out there" as well as that which exists internally.

1) Clarity of self-image

2) No doubts about inner identity

c. Individual manifests an integration of parts (self) so that there is a balance among the psychic forces.

1) Results in flexibility and the ability to control his impulses, purposes, acts, thoughts, and feelings

d. Individual's behavior is increasingly determined by his total self-concept.

e. Individual is concerned with the environment.

1) Wide range and high quality of concern for other people

2) Unifying outlook on life, a possession of long-range goals as well as an appropriate connection with the past

f. Individual has ability to regulate his behavior from within.

1) Access to all the parts of his experience and of his self

2) Functions as a totality and is controlled and created through the interrelationships of all the relevant parts of his self

3) Ability to influence his adjustment and adaptation as he finds it necessary.

4) Capability of effective problem-solving

2. Dimensions of mental health for measurement

a. Self-concept

1) Rich and differentiated

2) A successful synthesis by the individual of all that he has been and done, with all he wants to be and do, with all that he should and is able to do

b. The "correctness" of the fit of the more manifest aspects of the self-concept with the reality of the total association

c. Acceptance of self

1) Acceptance of his shortcomings

2) Acceptance of his own human nature with all its discrepancies from the real image, without feeling real concern

d. Sense of identity

1) Increasingly clear, more consistent, and free from transient influences

2) Increasingly determined by accumulated personal experience

3) Continuous, relatively unchanging awareness of himself in all his complexity and potentiality

e. Growth motivation

1) Interest in developing a "mission" or sense of commitment

2) Interest in modifying work in order that it may become more interesting, more challenging, and more effective

f. Investment in living

1) Individual's range and quality of concern with other people and the things of the world

2) Dedication to existence of profound and complete participation in living

3) Deep concern for others and his striving on satisfying his own needs

g. Unifying outlook on life

1) Concern for being in a relationship of "oneness" with others

2) Possession of long-range goals regarded as central to his personal existence

3) Emphasis on rich interpersonal relationship, challenging work, developing and increasing a sense of responsibility

h. Self-regulation

1) Self-control

2) Self-respect

3) Self-direction

i. Independence

1) Ability to conform to the behavioral norms of the society

a) Remaining free to choose whether to conform or not

b) Remaining free to depend on his own potentialities and latent resources for his own development and continued growth

2) Organization of the objects and events of his world to bring them under this own jurisdiction and government

j. Adequacy of interpersonal relations

1) Involvement in positive, effective relationships

2) Promotion of others' welfare

3) Working with another for mutual benefit

C. Research on Leadership

1. As working organizations have become larger and more complex, the problem of providing suitable leadership has increased. (Goode)

2. Many studies have revealed that leadership requirements are basically the same regardless of the enterprise or type of work in which the leader is engaged. (Goode)

3. Certain popular beliefs have been found invalid.

a. Technical skill in the work supervised is not as important as interest in directing the work of others and ability to reach objectives through their organized effort. (Goode)

b. The effective leader cannot be characterized as an extrovert. (Goode)

c. Age, weight, height, and physique are very insignificant and unreliable as indications of leadership. (Goode)

4. Based on studies conducted by Goode and Froemke, certain characteristics have been considered important for effective leadership.

a. A wide range of scientific studies indicates that there is a positive relationship between mental ability and leadership. (Goode and Froemke)

1) The leader is generally a shade more intelligent than the average of his followers.

2) The leader must be able to convey his ideas to others.

3) The leader who is vastly superior intellectually would have difficulty in making his followers understand him.

b. The leader has a wide, general knowledge, a large number of aptitudes, and must be broadly interested not only in the work with which he is directly connected, but in all the affairs of the setting in which he is placed. (Goode and Froemke)

1) Leader is more interested in planning and directing work than in doing it.

c. The leader has an unusual facility with langua[illegible] (Goode and Froemke)

1) The leader has greater vocabulary development.

2) The leader expresses more clearly and reliably the attitudes of the group he leads than any other member of the group.

a) Speaks and writes simply, persuasively, and understandably

3) The leader is also a very good listener.

d. The leader is mentally and emotionally mature. (Goode and Froemke)

1) Minimum of anti-social attitudes

2) Respect for authority rather than arrogance in his dealings with subordinates

3) Detached and objective in his thinking and actions

4) Self-sufficient and well-adjusted to life and to his part in it

5) Relatively free from prejudice

6) Strong sense of self-discipline

e. The leader has a powerful inner drive or motivation which impels him to strive for accomplishment. (Goode and Froemke)

1) Urge to excel and move up and onward (Career oriented)

2) Perseverance; hard worker

3) Marked inclination to be original and to use his own initiative

4) Self-confidence

5) Seeks responsibility

6) Ability to delegate

f. The leader is employe-centered. (Goode and Froemke)

1) Leader relies heavily on teamwork.

2) Leader participates in more group activities and exhibits a higher rate of social mobility than non-leaders.

g. The leader relies on his administrative skills to a much greater extent than he does on any of the technical skills which may be associated directly with his work. (Goode and Froemke)

1) Strong reality orientation

2) Knows how to get things done

3) Speed of decision

4) Common sense (practical)

5) Alertness to environment

6) Good judgment of people

h. The leader possesses excellent health, accompanied by a high energy level. (Goode and Froemke)

i. The leader is impulsive. (Goode and Froemke)

1) Makes spur of the moment decisions

2) Is willing to take risks

j. The leader makes the organization the focus of his life. (Froemke)

1) Is not diverted by other normal pursuits, such as family or recreation

2) Tends to neglect the other aspects of his life.

k. The leader conforms to the personality pattern of the organization. (Froemke)

1. In general, the leader lacks in creative ability.

5. Regardless of its level of effectiveness, a command, a unit, or an individual should try to ensure continued development and improvement of effective leadership practices. (Froemke)

   a. Recognize strong qualities and develop them fully.

   b. These strong qualities will outweigh any weak qualities.

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Outline Reference	Terminal and Enabling Objectives	
A.	Given an example of a Junior Officer performing a leadership task, the M will identify from various choices, the generally recognized qualities of leadership displayed by the leader in the example.	TO 1
A.	The M will identify, from several choices, one or more of the generally recognized qualities of leadership.	EO-1
A.1.	The M will select, from several choices, the correct definition of moral responsibility.	EO-2
A.3.	The M will select, from several choices, the statement which correctly describes one or more characteristics of a leader's devotion to duty.	EO-3
A.4. & A.5.	The M will select from several choices, the correct description of the relationship between professional knowledge, the ability to use this knowledge, and self-confidence.	EO-4
A.6.	The M will select, from several choices, the statement which correctly distinguishes moral courage from physical courage.	EO-5
A.2, A.10, A.11, A.12, A.13, A.14, A.15	The M will select, from various choices, the correct definition of at least one of the following: loyalty, industry, imagination, reliability, cooperation, oral self-expression and written self-expression.	EO-6

Outline Reference	Terminal and Enabling Objectives	
B.	Given an example of a Junior Officer performing a leadership task, the M will select, from various choices, one or more of those characteristics of mental health which the leader is displaying in the example situation.	TO 2
B.1.	The M will select, from various choices, the statement which correctly identifies one or more of the characteristics of mental health.	EO-1
B.1.a.	The M will select, from various choices, the correct definition of mental health (Argyris).	EO-2
B.2.	The M will identify, from several choices one or more of the measurable dimensions of mental health.	EO-3
C.4.	Given an example of a Junior Officer performing a leadership task, the M will select, from various choices, one or more of those characteristics of effective leadership which the leader is exhibiting in the example situation.	TO 3
C.1.	The M will select, from various choices, the correct relationship between the complexity of a working organization and the problem of providing suitable leadership.	EO-1

Outline Reference	Terminal and Enabling Objectives	
C.2.	The M will select, from various choices, the relationship between the requirements of leadership and the enterprise or type of work in which the leader is engaged.	EO-2
C.3.	The M will select, from several choices, one or more of those popularly held beliefs about leadership which have been found invalid.	EO-3
C.4.a.	The M will select, from several choices, the correct relationship between mental ability and leadership.	EO-4
C.4.d.	The M will select, from various choices, the correct description of emotional maturity.	EO-5
C.4.g.	The M will select, from several choices, the statement which correctly describes the relative reliance by a leader on administrative, rather than technical skills.	EO-6

United States Naval Academy

INTRODUCTION TO PSYCHOLOGY AND LEADERSHIP

PART TWELVE

APPLIED LEADERSHIP

Segment III

Techniques of Assuming Command

WESTINGHOUSE LEARNING CORPORATION

Annapolis, Maryland

1971

PART TWELVE - APPLIED LEADERSHIP

Segment III - Techniques of Assuming Command

A. Introduction

1. Before taking command, the leader should develop a flexible approach of taking command from the training he has received. This approach will not fit all situations, but can be altered easily to fit the situation at hand.

2. The leader must be aware of leadership attributes and recognize his areas of weakness and strength, giving special attention to his weaknesses.

   a. Determine any specific attributes or traits which should be emphasized in assuming command of the particular unit.

3. The leader must follow good leadership principles and techniques.

   a. Determine any specific principles or techniques which should be emphasized in assuming command of the particular unit.

   b. Especially important points for the new leader

      1) Set the example.

      2) Be professionally competent. Know your job.

      3) Know your men and look out for their welfare.

4. The initial impression which a leader makes in taking over is highly important. This impression can make or break the new officer and will have a lasting effect on his reputation. Therefore, the new leader should strive to follow good leadership principles to the letter in the first meetings with his men.

5. The leader should make a comprehensive study and evaluation of the organization of his unit.

6. The leader should arrive at a set of objectives for his unit as soon as possible. These objectives, if accomplished, should result in overall improvement of the unit.

B. Taking Over a Poor Unit

1. The biggest challenge for a new leader is taking command of a unit in which morale, discipline, esprit and efficiency are all low. It is then his responsibility to work the unit into shape.

2. "A supervisor inheriting a work unit with a low-output norm faces a difficult task in choosing a style of leader ship." (Koontz and O'Donnell, p.482) The leader must choose a flexible style of approach and adapt his leadership to the needs.

3. Be especially alert to set the example.

   a. Men watch the new leader closely.

   b. High personal example alone will often motivate a poor unit.

4. Isolate the unit's problem areas through observation and individual questioning of the men.

   a. In many cases, a poor unit is the result of a faulty organizational setup.

   b. The leader must check the organizational chain of his new unit by examining the authority/responsibility relationships.

   c. The following questions, asked of individuals, will usually reveal any organizational difficulties causing the problem.

      1) Who is your superior?

      2) Who are your subordinates?

      3) What are your activities and functions?

      4) What goals are you working on which, if accomplished, will benefit the entire organization?

5. Establish goals and objectives to alleviate the problems and improve performance.

   a. Establish high standards and demand performance to meet them (followup).

      1) Standards can be relaxed as the unit improves, if the leader desires.

6. Be prepared to be unpopular.

   a. In a low norm group, the leader must choose between relaxing his standards to conform with the norm, or maintaining high standards and thus raising the norm.

   b. The leader can become popular by relaxing his standards, but in doing so, he sacrifices his goals of performance. An example is:

My remembrance is of a platoon in my basic school at Quantico. The 4th platoon had problems from the beginning. My platoon, 5th, was of high caliber and always showed well.

We watched as 4th platoon's commander tore into them. If the company ran two miles, 4th platoon ran 2-1/4, returning more tired and with less time to shower and change. They found that they could not pass room imspections to their platoon commander's satisfaction. Low scores on tests meant that the entire platoon was restricted and studied, tutoring the poor men.

At first these men resented, even hated their platoon commander, but they awoke to the realization that they were doing better in all areas. Then their esprit grew until we no longer pitied them for their longer runs. We envied their new esprit, and their example urged us to do better. 4th platoon no longer had a problem, and the whole company benefited. The same men who had cursed their platoon commander at the start of their reformation now staunchly defended him.

C. Taking Over a Good Unit

1. In taking over a unit with a record of high morale, esprit discipline, and efficiency, the new officer faces the problem of effecting a takeover which will not only maintain these high standards, but will also raise them even higher (improvement).

2. Analyze the reasons for the unit's success.

   a. Study the methods of the preceding leader.

3. Reinforce the good policies which have been found in analysis.

4. The leader must set especially high standards for his own performance, for members of a good unit will expect him to live up to the record of their previous leader.

5. Seek advice of key subordinates. These men have helped to make the unit what it is and are eager to keep it at its peak.

   a. Through meetings with these subordinates, set up further goals and objectives for improvement.

6. Do not attempt to make a mark by arbitrary changes.

   a. "The new commander will have ample time and opportunity to affect the complexion and to influence the action of his organization without trying to make his mark on the organization through arbitrary changes. Even

some changes that at first seem essential may later prove unnecessary after a careful evaluation of pertinent factors." (Hays & Thomas, p.196)

D. Measurement of Success

1. Upon leaving a unit which he has commanded, the leader should be able to answer these questions affirmatively.

   a. Are these men better men for my having served with them?

   b. Have these men improved in all areas from when I first joined them?

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Hays, S.H. & Thomas, W.N. (Eds). Taking Command. Harrisburg, Pa.: Stackpole Books, 1967.

Outline Reference	Terminal and Enabling Objectives	
A.	Given an example situation in which an officer is to take command of a new unit, the M will select, from several choices, general techniques of assuming command.	TO 1
A.3.	The M will select, from several choices, those leadership principles or techniques which are especially important to a new leader.	EO-1
B.	Given an example situation in which an officer is to assume command of a poor unit, the M will select, from several choices, techniques of assuming command of a poor unit.	TO 2
B.4.a.	The M will select, from several choices, the sentence which correctly states the conditions which usually cause a poor unit.	EO-1
B.4.c.	The M will select, from several choices, the paragraph which best describes a method for discovering organizational difficulties.	EO-2
C.	Given an example situation in which an officer is to take over a good unit, the M will select, from several choices, techniques of taking over a good unit.	TO 3

Outline Reference	Terminal and Enabling Objectives	
C.6.	The M will select, from several choices, the paragraph which correctly discusses arbitrary changes made by the leader in taking over a good unit.	EO-1
D.	The M will select, from several choices, the paragraph which correctly states the criteria by which a leader evaluates his own success in commanding a unit.	EO-2

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INTRODUCTION TO PSYCHOLOGY AND LEADERSHIP

PART TWELVE

APPLIED LEADERSHIP

Segment IV

That's An Order

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THAT'S AN ORDER

Segment IV

A. Planning

1. Definitions

a. The function by which a leader determines (within the area of his authority) what objectives are to be accomplished and how and when they will be reached (Koontz & O'Donnell, p. 28)

b. The selection, from among alternatives, of a course of future action (Hays & Thomas, p. 103)

2. Importance of planning

a. Vital for efficiency and success

b. Helps to answer questions of what, when, where, who, why and sometimes how, concerning an operation

c. Facilitates execution of future action by providing a factual basis

3. When planning, a leader must take into account all aspects of any or all potential situations arising.

a. Develop plans to handle each

b. By so doing the leader helps to eliminate "That is an order" situation by

1) Perceiving it

2) Putting plan into effect

B. Nature of Situation

1. Timing

a. Often times it is necessary to make quick decisions with the information you have at hand

1) Had less information yesterday, may have more tomorrow, but decision required now

2) One quality of leadership is ability to make decisions quickly and not worry about making wrong decision (Froemke)

3) If indecisive, subordinates lose confidence in leader and will be less apt to follow orders; chaos can break out

4) If indecisive, some subordinates may make decision for leader. This may bring out the best in subordinates but who wants to chance it

b. Timing is often a major factor in the way a decision is reached

1) Immediate decision-made by leader

2) With more time it is possible to involve subordinates in making decisions

2. Climate

a. Imperative that a proper environment has been established within group to avoid That's An Order situation

b. Steps to creating proper environment (Haimann, p.427)

1) Clarify various authority relationships

2) Explain policies, procedures and standard practices by everyone under superior's command

3) Instill set of beliefs in subordinates

4) Explain reasons and purposes for directions

C. Perception

1. Individual men: "Know your men and look out for their welfare."

a. What roles are the members playing?

b. Is there role strain?

1) Role conflict--person occupies 2 roles simultaneously and these roles incompatible

a) Within group

b) Navy versus personal roles

2) Role competition--person required to exhibit several behaviors but cannot because of time and/or space constraints

c. Knowledge of subordinates background

1) Will help to know how to apply rewards and make recommendations as to punishment

2. When to draw the line and how

a. A good supervisor knows when and how to use authority

1) Three steps in controlling (Taking Command, p.136)

a) Establish standards

b) Compare results with standards

c) Take corrective action

2) When comparing results or actions of group with standards, will know when standards have been violated

b. How to overcome resistance to authority

1) Consider all factors involved in resistance

2) Reprimand privately

3) Generally do not punish whole group for individual's actions

4) Be humane

5) Maintain self-control--do not lose temper or you will lose respect

6) Do not exceed the legal limits of authority

7) Do not exceed the other constraints of your authority

8) Do not be indiscriminate

9) Punishment is not personal; it is not vindictive, is used to prevent the wrong-doer and others from repeating

10) Punishment should be administered as soon after offense as possible i.e. should not lower man's self-respect

11) Be considerate of inexperience

12) Don't pass the buck

3. Situation as whole

a. Evaluating all the factors

1) Timing

2) Climate

3) Leaders own abilities and relationship to group

b. How do all these factors interrelate?

D. Self-evaluation

1. Be aware of your strengths and weaknesses as they apply to the situation

2. Be aware of essential qualities of leadership

a. Integrity

b. Loyalty--entails complete elimination of own personal likes, dislikes, hopes, desires and interests in order--that common cause may triumph

1) Loyalty up and loyalty down--loyal to juniors as well as seniors

2) Loyalty down begets loyalty up

c. Practice simplicity--"Be human and use common sense"

1) Modesty, quiet dignity, humility

d. Self-control--it is the secret of control of others

e. Tact--a quick or intuitive appreciation of what is fit, or proper, or right

f. Energy, enthusiasm, perserverance

g. Common sense, judgment and acumen

E. Limits to Authority

1. Know the legal limits of authority

a. Within the formal chain, don't say what you don't have the authority to say

b. Don't threaten, state, "If this happens again I will consider...."

2. Authority is supported by a formal system of laws and informal social norms backed by powers of society. However, the established patterns of authority must have general acceptance if they are to survive (Albers, p. 223)

3. Firing squads, electric chairs, discharge from employment or excommunication may be necessary as experience for the few but authority rests on highly insecure foundation if the few become the many (Albers, p. 223)

4. Discussion of example situations

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Outline Reference	Terminal and Enabling Objectives	
A.	Given a military situation involving a leader's exercise of authority the M will select from several choices the correct description of the leader's most appropriate plan of action.	TO 1
A.3.	The M will select from several choices the statement that correctly identifies the importance of planning.	EO-1
B. C.	Given a military situation involving a leader's exercise of authority the M will select from several choices the statement which correctly analyzes the leader's perception of the situation (with regard to "nature of situation," "timing", "climate", and/or individual men, when to draw the line and how to overcome resistance to authority).	TO 2
B.1.	The M will select from several choices the statement that correctly describes the importance of timing in decision-making.	EO-1
B.2.b.	The M will select from several choices the statement that correctly identifies the steps involved in creating a proper environment.	EO-2
C.1.	The M will select from several choices the statement that correctly identifies the factors involved in the principle: "Know your men and look out for their welfare." (What roles are the individuals playing? Is there role strain? Know the subordinates' backgrounds).	EO-3

Outline References	Terminal and Enabling Objectives	
C.2.a.	The M will select from several choices the statement that correctly discusses when to draw the line.	EO-4
C.2.b.	The M will select from several choices the statement which correctly identifies the factors involved in overcoming resistance to authority.	EO-5
D.	Given a military situation involving the leader's exercise of authority the M will select from several choices the statement that correctly identifies the self-evaluation done by the leader.	TO 3
D.2.	The M will select from several choices those essential qualities of leadership a leader uses in evaluating his exercise of authority.	EO-1
E.	Given a military situation involving the leader's exercise of authority the M will select from several choices the statement that correctly identifies the limits of the leader's authority.	TO 4
E.1.	The M will select from several choices the statement that correctly identifies the guidelines of the limits of a leader's authority.	EO-1

Outline Reference	Terminal and Enabling Objectives	
A.B.C.D.E.	Given a military situation involving the leader's exercise of authority the M will select from several choices the statement that most appropriately describes the leader's judicious use of authority.	TO 5